

UNITED STATES DEPARTMENT OF AGRICULTURE

Farm Service Agency
Washington, DC 20250

**FCIC Program Integrity
4-RM**

Amendment 1

Approved by: Acting Deputy Administrator, Farm Programs, FSA;
Acting Deputy Administrators, Compliance and Insurance Services, RMA



Amendment Transmittal

A

**Reasons for
Issuance**

This handbook has been issued to provide procedure and guidance to FSA State and County Offices, RMA, and insurance providers for improving Federal Crop Insurance Program compliance and integrity as required by the Agricultural Risk Protection Act 2000 (2000 Act).

The 2000 Act identified 4 areas that this handbook will address:

- C referrals and investigations
- C claims audits
- C consultation with STC's
- C data reconciliation.

Note: Five teams comprised of FSA and RMA employees from various offices developed the procedure for these 4 areas.

This handbook provides procedure for the investigation referral, claims audit, and STC consultation processes. Future amendments will be forthcoming for the remaining areas.

B

**Obsolete
Material**

Notice CP-530 is obsolete.

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Part 1 Basic Provisions

1 Overview

A

Background

The Agricultural Risk Protection Act 2000 (2000 Act) requires FSA and RMA to:

- ⌄ work together to improve program compliance and integrity of the Federal Crop Insurance Program
 - ⌄ develop a coordinated plan for implementation.
-

B

Oversight and Coordination

The following offices are conducting oversight and coordination of this effort in consultation with OIG and crop insurance companies:

- ⌄ FSA, PECD
 - ⌄ RMA RCO's
 - ⌄ RMA RO's
 - ⌄ RMA, Deputy Administrator for Research and Development.
-

C

Handbook Purpose

This handbook provides FSA and RMA offices procedure based on the joint work plans developed as a result of the 2000 Act. The areas covered by this handbook include the following:

- ⌄ referrals and investigations
 - ⌄ claims audit
 - ⌄ consultation with STC's
 - ⌄ data reconciliation.
-

2 Sources of Authority and Related Handbooks

A

Statutory Authority

The statutory authority for FSA and RMA to improve program integrity is Subtitle B, Section 121 of the 2000 Act.

B

STC Authority to Supplement This Handbook

Because this handbook is a joint effort between FSA and RMA, STC's do **not** have the authority to modify this handbook. Any recommendations for amendment must be submitted to the National Office for concurrence by both FSA and RMA.

C

Related Handbooks

FSA and RMA handbooks related to program compliance include the following:

- ℄ 9-AO for handling audits and investigations
 - ℄ 1-CM for name, address, and producer ID number verification
 - ℄ 3-CM for farm records management
 - ℄ 2-CP for verifying acreage and completing field visits
 - ℄ FCIC Loss Adjustment Manual and specific crop insurance Loss Adjustment Standard manuals
 - ℄ 5-LP for bin measurements
 - ℄ 1-PL for reviewing farm operating plans.
-

3 Publication Requirements

A

Overview

With the passage of the 2000 Act, FSA and RMA are:

- C required to coordinate a plan to identify, address, and reconcile discrepancies of all relevant producer-derived information
- C directed to coordinate a monitoring program, which includes fact finding relative to allegations of program fraud, waste, and abuse.

As a key preventative measure, it is important that the agricultural community be made fully aware of FSA's and RMA's joint efforts to reduce fraud, waste, and abuse.

B

When to Provide Information

At a minimum, County Offices shall notify all producers twice a year of the monitoring efforts by FSA and RMA to prevent fraud, waste, and abuse in the Federal Crop Insurance Program.

This notification shall be publicized at the beginning of the calendar year and again during the crop growing season.

Note: It may be appropriate to publicize this information more than twice, depending on the planting and harvest seasons for different crops in a county.

C

What Information to Provide

County Offices shall notify producers that:

- C FSA will be assisting RMA and insurance providers in monitoring crop conditions throughout the growing season
 - C FSA will refer all suspected cases of fraud, waste, and abuse about the Federal Crop Insurance Program to RMA
 - C producers may report suspected cases of fraud, waste, and abuse to their local County Office, RMA office, or OIG
 - C FSA will assist RMA with auditing claims.
-

Continued on the next page

3 Publication Requirements (Continued)

D

Methods of Notification

County Offices shall notify all producers of the efforts to reduce fraud, waste, and abuse of the Federal Crop Insurance Program by any means of communications, including, but not limited to, the following:

- Ⓒ news releases
 - Ⓒ newsletters
 - Ⓒ radio and television spots
 - Ⓒ fact sheets.
-

4 Points of Contact

A

Designating FSA POC

Each SED shall establish a POC and alternate who shall:

- Ⓒ serve as the primary contact for all functions associated with implementing the 2000 Act within their State
 - Ⓒ be responsible for maintaining the lines of communication between RMA and FSA at the Regional and State levels
 - Ⓒ be responsible for POC responsibilities in this handbook.
-

B

Designating RMA POC

Each RCO shall establish a POC and alternate who shall:

- Ⓒ serve as the primary contact for all functions associated with implementing the 2000 Act within its region
 - Ⓒ be responsible for maintaining the lines of communication between RMA, FSA, and the insurance provider at the Regional and State levels
 - Ⓒ perform the duties required under these procedures.
-

5-19 (Reserved)

Part 2 Referrals and Investigations

20 Overview

A

Background

County Offices have the authority and responsibility to keep an active watch for potential fraud, waste, and abuse of the Federal Crop Insurance Program. RMA also has the authority to request assistance from FSA in monitoring the Federal Crop Insurance Program. County Offices shall document observations and gather the documentation necessary to validate concerns according to this part.

21 Responsibilities

A

County Office Responsibilities

County Offices shall:

- Ⓒ accept any form of complaint from any complainant as accurately as possible
- Ⓒ keep an active watch for potential fraud, waste, and abuse of the Federal Crop Insurance Program
- Ⓒ document observations and gather the evidence necessary to validate concerns
- Ⓒ honor any request by complainant with regard to confidentiality
- Ⓒ follow timeframes as outlined in this handbook
- Ⓒ follow publicity requirements as outlined in this handbook
- Ⓒ take specified actions on a case-by-case basis under the direction of the State Office POC
- Ⓒ provide the State Office POC with a year-end summary report of all reviews conducted for the crop year by January 31 of the subsequent year

Note: This will include reviews that result in no questionable findings.

- Ⓒ timely provide requested information to insurance providers, agents, and loss adjusters following procedure in 2-CP, paragraph 508.
-

Continued on the next page

21 Responsibilities (Continued)

B

SED

Responsibilities

SED is responsible for approving either of the following:

- Ⓒ further inquiry by FSA
 - Ⓒ the referral of the case to OIG when RCO fails to timely respond to or declines to proceed with an investigation according to paragraph 73.
-

C

State Office POC

Responsibilities

The State Office POC or alternate shall:

- Ⓒ serve as the liaison between the County Office and RCO
- Ⓒ forward all RCO spot check lists and referrals received from RCO to the applicable County Office
- Ⓒ forward all County Office responses to referrals initiated by RCO back to RCO within the specified timeframe

Note: A list of addresses with States served for each RCO is in Exhibit 5.

- Ⓒ be responsible for ensuring that referrals from the County Office are complete and that all necessary documentation is provided
 - Ⓒ notify the County Office of County Office-initiated referrals that POC determines are unwarranted and will not be forwarded to RCO
 - Ⓒ make initial determination for FSA to conduct its own investigation or refer the case to OIG, subject to SED approval, when RCO fails to timely respond to or declines to proceed with an investigation, according to subparagraph 73 B.
-

Continued on the next page

21 Responsibilities (Continued)

**D
DD
Responsibilities**

DD's shall:

- Ⓒ monitor the referral process within their respective district
 - Ⓒ assist State and County Offices with the referral process as requested.
-

**E
RCO
Responsibilities**

RCO shall:

- Ⓒ coordinate all referral activities and request for inquiries through the State Office POC
 - Ⓒ develop and provide, to FSA POC, spot check lists for annual reviews that identify high-risk policy holders on a county basis
 - Ⓒ submit referrals involving individual complaints of fraud, waste, or abuse to the County Office through the State Office POC
 - Ⓒ review all referrals received from FSA POC and determine whether further investigation is warranted
 - Ⓒ evaluate the appropriateness of actions taken by the insurance provider relative to the referred case
 - Ⓒ respond to the State Office POC within the specified timeframe for each case referred by POC
 - Ⓒ upon conclusion of the review process, provide a written summary of the review results to the State Office POC.
-

Section 1 FSA Referrals to RMA

22 Types of Referrals to RMA

A**Types of Referrals**

The following are 2 types of referrals of suspected crop insurance fraud, waste, or abuse that may originate from a County Office:

- C a complaint received in the County Office by telephone, letter, in-person, etc., from an individual

Example: Producer Jones contacts the County Office to report that Producer Smith is not caring for the crop in a workmanlike manner.

- C observations made by County Office employees or COC members.

Examples: While performing routine FSA compliance activities, it was noted that Producer Smith was using farming practices that were not considered normal or customary for the area.

While verifying production/income for loan making/loan servicing or LDP purposes, a significant discrepancy in data is noted between information provided from crop insurance records and information provided to FSA from the producer.

23 Accepting Complaints or Documenting FSA Observations

A

Accepting Initial Data

Once a County Office is aware of a suspected fraud, waste, or abuse case, AD-2007, Parts A and B must be completed as follows.

Part	Instructions
A	<p>C If the source of the complaint is from an individual, enter the individual's name and address. If the individual is unknown, enter "Unknown" in item 2A. If the individual is known, but wishes to remain anonymous, enter "Confidential Informant" in item 2A.</p> <p>C If the source of the complaint originates from an FSA employee or COC member, enter the County Office name and address.</p>
B	County Offices shall follow the instructions in Exhibit 6.

Once Parts A and B have been completed, the County Office shall refer to subparagraph B.

B

Verifying Crop Insurance

County Offices shall verify the insurance status of the producer's crop by contacting the applicable RCO.

IF the producer's crop is...	THEN the County Office shall...
not insured	<p>take no further action.</p> <p>Note: If the information has an impact on FSA programs, thoroughly document findings and follow procedure in the applicable FSA program handbook.</p>
insured	follow Section 3.

24-39 (Reserved)

Section 2 RMA Referrals to FSA**40 Overview**

A**Background**

RMA has the authority to request assistance from FSA in monitoring producers suspected of fraud, waste, or abuse. The following are the 2 basic types of FSA assistance requested by RCO:

- C spot checks of producers identified through RMA data mining or RCO criteria according to paragraph 41
 - C when additional information is needed to establish the credibility of a complaint or when immediate presence is needed to document evidence before it is destroyed according to paragraph 42.
-

41 RMA-Requested Spot Checks and RMA-Initiated Complaint Referrals

A**RCO Spot Check List**

RCO shall annually provide, by April 1, to the State Office POC a prioritized list of producers:

- C exhibiting high loss ratios, high frequency, and severity of losses
- C suspected of poor farming practices.

The triggering factors may vary in each RCO based on types of crops and loss experience. The list will be broken down by State and county and will include the producer's name and crops.

County Offices shall conduct reviews according to subparagraph 70 C.

Continued on the next page

41 RMA-Requested Spot Checks and RMA-Initiated Complaint Referrals (Continued)

B

**Complaints
Referred by
RMA**

RMA may request FSA assistance when RCO has received a complaint that requires a field visit.

Upon receipt of the request for assistance, County Offices shall conduct the requested fact finding and relay their observations to the State Office POC. Urgent requests need to be responded to without delay. For all other requests, the County Office shall report the information within 14 calendar days.

When immediate action is required, RCO shall telephone the State Office POC. If the State Office POC or alternate is not available, contact may be made directly to the County Office.

In other cases, the request for assistance will be made in writing to the County Office through the State Office POC.

County Offices shall conduct reviews according to paragraph 70.

42-69 (Reserved)

Section 3 Fact Finding and Documentation

70 Review Requirements

A

Overview

County Offices may perform spot checks for RCO as a result of:

- C individual complaints received by the County Office, State Office, or RCO
 - C observations noted by FSA employees or COC members
 - C producers selected from the list provided by RCO.
-

B

County Office Action for Individual Complaint or County Office Observation

For reviews resulting from complaints received by the State Office POC or County Office, or reviews resulting from FSA employee or COC member observations, County Office reviews shall be limited to the specific farm or field in the complaint or observation. AD-2007 shall be completed according to instructions in Exhibit 6.

Note: County Offices must ensure that a sequential FSA reference number has been assigned and entered on AD-2007 according to Exhibit 6 for all reviews conducted for RCO.

C

County Office Action on RCO Spot Check List

For those reviews identified on the RCO spot check list, County Offices shall conduct referrals according to the larger of the first 10 insureds or the top 5 percent of the insureds on the list.

Note: If less than 10 insureds are identified on the list, County Offices shall check all insureds.

Of those required reviews, County Offices shall conduct a review on a minimum of 1 tract, which shall include all fields for all identified crops on the RCO spot check list.

Continued on the next page

70 Review Requirements (Continued)

C**County Office
Action on RCO
Spot Check List
(Continued)**

During routine FSA compliance activity, County Offices shall document findings for those insureds identified on the RCO spot check list. These reviews will be specific to only those compliance activities being conducted for FSA purposes and not the process listed under the required RCO reviews.

Examples: Bob Smith's farm will be visited as a result of a commodity loan inspection. Because Bob's name is on the RCO spot check list, the field and/or crop condition shall be documented on AD-2007. The County Office may expand the review to include additional fields and tracts if time permits.

Acreage determinations resulting from the Automated Farm Inspection Selection Register for FSA compliance shall also be used for acreage determinations for producers shown on the RCO spot check list. Producers whose crop acreage exceeds tolerance according to 4-CP, paragraph 22 shall be:

- C reported as a finding on AD-2007
- C forwarded to RCO POC through the State Office POC.

Although County Offices must meet the minimum number of required reviews and those reviews identified in conjunction with normal compliance activity, County Offices may expand reviews to additional tracts or fields as time or resources permit.

71 Fact Finding and Documentation

A**Fact Finding for
Individual
Complaints or
County Office
Observations**

For those individual complaints received by County Offices or observations indicating possible fraud, waste, or abuse, fact finding shall be conducted relative to the applicable crop, acreage, and allegation. Fact finding may include, but is not limited to, the following:

- C reviewing FSA-578 and map, if applicable
- C field visit to conduct growing season inspections, take photographs, observe similar farms, etc.

Continued on the next page

71 Fact Finding and Documentation (Continued)

A

Fact Finding for Individual Complaints or County Office Observations (Continued)

- C verifying production, if applicable, at local elevators, gins, etc.
 - C reviewing other FSA records, if available, such as LDP records, results of spot checks, disaster program applications, and FLP records
 - C observing company loss adjusters performing appraisals only on a limited basis when requested by RCO.
-

B

Fact Finding for RCO Spot Check List

The County Office shall perform a minimum of 2 documented field inspections, 1 within 30 calendar days of the final planting date and 1 before harvest becoming general in the area.

The inspections shall include the following:

- C the kind of tillage methods the insured has carried out
 - C the kind of weed control practices that are being carried out
 - C if a current soil test has been taken on any of the insured acreage
 - C how the inspected crop compares with those in the general area
 - C the type of fertilizer program being followed
 - C brief explanation of the weather in the past 4 to 6 weeks, the current conditions, and the expected weather conditions
 - C brief description of any pertinent remarks
 - C photographs of the fields inspected.
-

Continued on the next page

71 Fact Finding and Documentation (Continued)

C

Documentation

The County Office shall compile supporting documentation that may include, but is not limited to, the following:

- Ⓒ photocopy of FSA-578 and map, if acreage report has been filed
 - Ⓒ field notes
 - Ⓒ representative photographs
 - Ⓒ other available FSA records applicable to the inquiry
 - Ⓒ other documents and items as requested by RCO through the State Office POC.
-

D

**Submitting
AD-2007**

County Offices shall:

- Ⓒ for those reviews initiated at the County Office level, submit AD-2007 and all other supporting documentation to RCO through the State Office POC within 14 calendar days from the date the County Office becomes aware of the suspected fraud, waste, or abuse
 - Ⓒ for reviews resulting from the RCO spot check list, submit AD-2007 and supporting documentation according to subparagraph B within 5 calendar days after the initial discovery of potential fraud, waste, or abuse. If no fraud, waste, or abuse is discovered, submit AD-2007 and supporting documentation within 5 calendar days after the final inspection.
-

72 County Office Action

A

**County Office
Action for
Individual
Complaints or
County Office
Observations**

Certain actions are required when County Offices are made aware of potential fraud, waste, or abuse as it applies to the Federal Crop Insurance Program. This table briefly summarizes steps for the County Office to follow when dealing with possible fraud, waste, or abuse cases.

Step	Action	
1	Document initial discovery of suspected fraud, waste, or abuse according to subparagraph 23 A.	
2	Verify producer's insurance status for the crop or crops in question according to subparagraph 23 B.	
3	IF the crop is...	THEN...
	not insured	no further action is required for RMA purposes. However, if the complaint could affect FSA programs, the complaint needs to be pursued for FSA purposes only.
	insured	conduct fact finding according to subparagraph 71 A.
4	Important: Do not discuss referral of the case for possible fraud, waste, or abuse with the producer. Maintain confidentiality of complainant.	
5	Document results of fact finding efforts according to subparagraph 71 C.	
6	Submit AD-2007 and supporting documentation to RCO through the State Office POC within 14 calendar days from the date the County Office becomes aware of the suspected fraud, waste, or abuse. Cases of urgency shall be processed expeditiously.	
7	Perform an additional inquiry as requested by the State Office POC or RCO through the State Office POC.	

Continued on the next page

72 County Office Action (Continued)**B****County Office
Action Relating
to the RCO Spot
Check List**

This table briefly summarizes steps for County Offices to follow when performing reviews for those producers selected on the RCO spot check list.

Step	Action	
1	Identify selected insureds and crops from the RCO spot check list according to subparagraph 70 C.	
2	Assign tracking number according to Exhibit 6.	
3	Conduct applicable inspections as outlined in subparagraph 71 B.	
4	IF the initial review results in...	THEN...
	no finding	continue to conduct inspections throughout the growing season.
	a finding of potential fraud, waste, and abuse	go to step 5.
5	Document results of fact finding efforts according to subparagraph 71 C.	
6	Important: Do not discuss the specifics or details of the finding resulting from the RCO spot check list with any persons outside FSA or RMA.	
7	Submit AD-2007 and supporting documentation to RCO through the State Office POC within 5 calendar days from the date the County Office completes the inspection. For those inspections for which there were no findings, submit report according to subparagraph 71 D. Cases of urgency shall be processed expeditiously.	
8	Perform an additional inquiry as requested by the State Office POC or RCO through the State Office POC.	

C**Record Keeping**

County Offices shall:

- c assign an FSA tracking number for each review according to subparagraph A
- c prepare a file folder for each review for which a tracking number has been assigned
- c include a copy of all documentation and findings in the file folder, including, but not limited to, documentation items listed in subparagraph B
- c log the review on AD-2007A (Exhibit 10).

73 State Office Action

A**Processing
Referrals**

Upon receipt of the documentation and AD-2007 from the County Office, the State Office POC shall:

- ℄ log the referral on AD-2007A (Exhibit 10)
 - ℄ ensure that AD-2007 is complete and that all necessary documentation is provided
 - ℄ request additional documentation from the County Office, if applicable
 - ℄ review all facts related to the referral to concur that the referral should be forwarded
 - ℄ for referrals initiated at the County Office level that are determined to be unwarranted, return the referral and notify the County Office that the referral will not be acted upon
 - ℄ forward all appropriate referrals to RCO using overnight mail within 7 calendar days after receipt from the County Office.
-

B**Post Referral
Inquiry**

For all types of referrals, if RCO has not provided a written response that describes intended action of RCO within 5 calendar days after receiving a submitted referral, the State Office POC, with SED approval:

- ℄ may determine that FSA will conduct its own inquiry into the alleged fraud, waste, or abuse
- ℄ shall notify RCO of the action that will be taken by FSA
- ℄ may refer the matter to OIG according to 9-AO if, as a result of the inquiry, FSA concludes further investigation is warranted, but RCO declines to proceed with the investigation.

Note: For those referrals with no findings, a response from RCO POC is not required.

74 RMA Action

A

Action

For all types of referrals, upon receipt of AD-2007 and attached documentation from the State Office POC, RCO shall complete this table.

Step	Action	
1	Review referral and determine whether further review is warranted.	
2	Request additional information if necessary.	
3	Within 5 calendar days after receiving the referral, provide a written response that describes the intended action.	
4	IF a review is...	THEN RCO shall...
	not warranted	inform the State Office POC in writing.
	warranted	determine whether RCO conducts the review: <ul style="list-style-type: none"> ⌚ if a referral to the insurance provider is warranted ⌚ according to standard operating procedure. ⌚ RCO shall prepare a transmittal letter to the company including the details of the complaint. Attach the supporting documentation provided by FSA. Do not forward the actual AD-2007 to the company. ⌚ RCO shall evaluate the appropriateness of the actions taken by the insurance provider and determine whether further review is necessary.
5	RCO may refer the case to OIG at any time during the process.	
6	At the conclusion of the review process, RCO shall provide a written summary of the review results to the State Office POC.	

75 Insurance Provider Action

A

Action

If the review is referred by RCO to the insurance provider, the insurance provider shall:

- C perform a field review of the producer
 - C take the appropriate action
 - C document their actions
 - C provide a report back to RCO on results of review and actions taken.
-

76-80 (Reserved)

Part 3 Claims Audit**81 Overview**

A**Background**

The 2000 Act requires that FSA assist approved insurance providers and RMA in conducting claim audits for statistically selected Compliance Crop Insurance Contracts.

FCIC-14010, Manual 14 requires insurance providers to conduct quality control reviews that will:

- ℄ provide assurances that procedures, systems, and programs are effective and adequate
- ℄ be used to:
 - ℄ expose intentional program abuse
 - ℄ identify discrepancies, inconsistencies, or errors.

Note: One type of quality control review is the Compliance Crop Insurance Contract Review.

B**Purpose**

This part provides procedure to State and County Offices for:

- ℄ assisting insurance providers that are conducting a Compliance Crop Insurance Contract Review, herein after referred to as a claim audit or review
 - ℄ processing forms and letters received from RCO requesting producer information
 - ℄ assisting RCO's that are conducting evaluations of the insurance providers' claim reviews.
-

82 Responsibilities

A

Insurance Provider Responsibilities

Annually, RMA, Deputy Administrator for Compliance statistically selects Compliance Crop Insurance Contracts (claims) for insurance providers to review. Insurance providers complete the reviews by verifying that all information on the claim provided by the policyholder, sales agent, and loss adjuster is correct.

Insurance providers:

- Ⓒ may request information from State and County Offices to assist in the verification of the claim
- Ⓒ should only be requesting information needed to complete their reviews.

The insurance provider representative shall submit FSA-426-A to the applicable State Office POC to obtain documents maintained in the County Office. Approved insurance provider representatives requesting producer documents shall provide:

- Ⓒ a completed FSA-426-A, items 1 through 14, according to paragraph 83
 - Ⓒ FSA-426-A to the applicable State Office POC.
-

B

RMA Responsibilities

RMA, Deputy Administrator for Compliance shall annually provide to PECD, Compliance Branch a file for distribution to State and County Offices, listing the statistically selected claims that will be reviewed by the insurance provider. The file is listed as follows:

- Ⓒ State and county name
- Ⓒ crop
- Ⓒ insured name and ID
- Ⓒ policy number.

Note: This list is provided for information purposes only. County Offices will not be providing information on all claims listed.

Continued on the next page

82 Responsibilities (Continued)

**B
RMA
Responsibilities
(Continued)**

After the insurance provider completes the claim reviews, RCO's shall evaluate a judgmental sample of the claim reviews. If discrepancies are discovered, RCO may submit a request to the applicable County Office for documentation that would resolve discrepancies in the insurance provider's claim review.

RCO's shall submit:

- C FSA-426-A to the applicable County Office to request producer documentation

Note: See subparagraph 83 C.

- C a copy to the State Office of FSA-426-A submitted to the County Office
- C personal identification to County Offices if requesting documents in person.

RCO's may request documentation that does not reside in the County Office and could require a field visit. Information obtained outside of the County Office can **only** be requested by RCO. RCO shall make the request using RMA letterhead. Request shall be sent to the State Office POC. See the example of a field request letter in Exhibit 12.

Note: Field visits may include the verification of information or data through independent sources.

Continued on the next page

82 Responsibilities (Continued)

C

State Office Responsibilities

The State Office POC shall:

- Ⓒ distribute to each applicable County Office the list of insureds that are included in the RMA Compliance Crop Insurance Contract Reviews sent from the FSA National Office
 - Ⓒ develop a tracking system for all requests from RCO and companies and serve as clearinghouse for all requests for information
 - Ⓒ ensure that:
 - Ⓒ FSA-426-A is completed by requester before sending to the County Office
 - Ⓒ County Office has included all requested documentation before returning it to the requester
 - Ⓒ forward insurance provider's FSA-426-A to the applicable County Office
 - Ⓒ forward RCO request for a County Office field visit to the applicable County Office
 - Ⓒ notify the applicable RCO immediately when workload demands in the County Office will delay a timely turn around for processing the information request.
-

D

County Office Responsibilities

County Offices shall:

- Ⓒ continue to give priority service to producers
 - Ⓒ identify and prevent conflict of interest situations involving County Office employees when conducting field visits
-

Continued on the next page

82 Responsibilities (Continued)

D**County Office
Responsibilities
(Continued)**

- Ⓒ verify the insureds listed on FSA-426-A are also on the RMA Compliance Crop Insurance Contract Review list sent from the State Office and then copy the following applicable documents as requested on FSA-426-A:
 - Ⓒ CCC-502
 - Ⓒ AD-1026A
 - Ⓒ FSA-425, for peanut and tobacco insured
 - Ⓒ FSA-578 (producer print), for current and prior years
 - Ⓒ price support loan or LDP documents and, if applicable, NAP loss claims or crop disaster applications
 - Ⓒ map photocopy
 - Ⓒ “Other” documents may be requested, such as producer lease agreements

Notes: The insurance provider must identify in FSA-426-A, “Remarks” section, the documents being requested.

Request for documents other than those listed should:

- Ⓒ be limited
 - Ⓒ not include all insureds being reviewed.
- Ⓒ process the information request in no less than 7 workdays from the day the County Office receives FSA-426-A
- Ⓒ mail copies of requested documents to the applicable insurance provider or RCO
- Ⓒ send a copy of FSA-426-A to the State Office POC with item 15 completed for logging and tracking purposes
- Ⓒ notify the State Office POC immediately if documents requested cannot be processed within the 7 workday timeframe or do not exist
- Ⓒ document results of field visits requested by RCO. Request for a field visit shall be submitted on RMA letterhead and sent to the State Office. See the example of a field request letter in Exhibit 12. Send a copy of the information provided to RCO to the State Office POC.

83 Completing FSA-426-A

A

FSA-426-A The State Office POC shall review, upon receipt from the requester, FSA-426-A, items 1 through 14, for information completed according to the following table.

Required Entries

Item Number	Item Definition	Item Description
1	FSA County Office Name, Address and Telephone No.	Insured's FSA Administrative County Office
2	Crop Year	Crop year for claim
3	Date	Date of information request
4	Requester's Name	<input type="checkbox"/> Insurance provider representative's name <input type="checkbox"/> RMA compliance investigator's name
5	Phone Number	Telephone number for the: <input type="checkbox"/> insurance provider representative <input type="checkbox"/> RMA compliance investigator.
6	Requester	As applicable, check: <input type="checkbox"/> "Company Request", for insurance provider representative <input type="checkbox"/> "RMA Request", for RMA compliance investigator
7	Insured Name	Producer's name identified for the claim review
8	ID Number	Social Security or tax identification number of the insured
9	Crop	Crop selected for claim review
10	Policy Number	Crop insurance policy number for the insured
11	Information Requested	Check appropriate boxes that are applicable to the claim review. See subparagraph B.
12	Request Information to be: <input type="checkbox"/> mailed <input type="checkbox"/> available for pickup	Check applicable box and mailing address if the documents requested are to be mailed.
13	Remarks	Identify other information being requested.
14A	Requester's Signature	<input type="checkbox"/> Insurance provider representative <input type="checkbox"/> RMA compliance investigator
14B	Title	Includes insurance company or RCO requesting information. Example: ABC Insurance Company, Quality Control Reviewer, or RMA Western Regional Compliance Office.
14C	Date	Date the requester signed FSA-426-A.

Continued on the next page

83 Completing FSA-426-A (Continued)

B**Forms Identified on FSA-426-A**

The following table identifies the forms listed on FSA-426-A and the information that can corroborate information on a claim review. The insurance provider or RCO shall only request the needed forms.

Form Number	Form Description	Information To Be Verified
CCC-502 (Includes CCC-502A-Individual, CCC-502B-Joint Venture or General Partnership, CCC-502C-Corporation, Limited Partnerships of Other Similar Entities as applicable)	Farm Operating Plan for payment limitation review	Share lease or cash lease agreements, entity information, other farming interests
AD-1026A	Identifies Highly Erodible Land Conservation (HELC) and Wetland Conservation (WC) Certification.	Producer name, address, and telephone number, multi-county producer, control county and photo/grid, and land location.
FSA-578 (producer print) (prior or current year)	Report of Acreage by producer ID.	Crops planted, crop intended use, acres, and share. Total farmland and cropland.
FSA-425	A producer summary of the farm tract, base and yield information for tobacco and peanuts.	Effective quota, previous year marketing, and carryover pounds.
Price support loan documents, CCC-677, CCC-678, and CCC-Cotton A Price support loan deficiency documents, CCC-666, CCC-709, and CCC-Cotton AA NAP loss claims or crop disaster program applications, if applicable	Production evidence	Total production for a farm submitted for a loan. Total production for a farm submitted for LDP. If applicable, production submitted for a crop disaster payment or NAP payment.
Map photocopy or aerial slides	Identifies the approximate boundaries of the crop on the farm.	Land location and crop conditions.
Other	Example: Lease Agreement	Share

Continued on the next page

83 Completing FSA-426-A (Continued)

C Example of FSA-426-A

Following is an example of FSA-426-A.

[illegible]

84 Providing Insured Information in Subsequent Years

A

**Crop Year 2000
Contract Claim
Review Results**

For crop year 2000 claim audits, FSA will provide assistance to insurance providers and RCO's by providing copies of documents that reside in the County Office to corroborate information in the insured's claim. County Offices shall also conduct field visits for RCO. This process will be evaluated before issuing additional procedures for FSA assistance in conducting future claim reviews.

85-100 (Reserved)

Part 4 (Reserved)

101-119 (Reserved)

Part 5 STC Consultation**120 Overview**

A**Background**

The consultation process is a means for RMA and FSA to share and exchange FSA and RMA program information and to identify possible program areas of concern or discrepancies before they become effective. This information will include RMA crop program updates for existing programs, new programs, and program expansion. The consultation process will allow FSA the opportunity to review and make recommendations on policies, plans of insurance, and materials related to these policies or plans of insurance, including applicable final planting dates, assigned yields, and transitional yields (T-yields).

121 Responsibilities

A**RMA****Responsibilities**

RMA shall designate an RO POC and an alternate POC to be responsible for the coordination of STC consultation requests with the FSA State Office POC.

B**RO POC****Responsibilities**

RO POC shall:

- coordinate scheduling of requests with the State Office POC
 - provide a request of actions to be taken
 - provide State Office POC information for review in conjunction with the request for feedback
 - upon receipt of an STC recommendation, provide a response of actions taken
 - assign a tracking number to the consultation request and log request on AD-2006A (Exhibit 15) if initiated by RMA.
-

Continued on the next page

121 Responsibilities (Continued)

**C
STC
Responsibilities**

STC shall:

- if applicable, consult COC for input regarding requests for review of crop insurance program information
 - review compiled data gathered by the State Office POC
 - make recommendations to consultation requests submitted by RO POC
 - when aware of program vulnerabilities in their State, STC must notify the State Office POC to initiate recommendation process
 - identify, review, and recommend appropriate action to RO POC to change existing/proposed RMA T-yields, dates, practices, etc.
-

**D
State Office POC
Responsibilities**

The State Office POC shall:

- maintain communications with RO POC
 - coordinate scheduling of requests with RO POC
 - conduct a cursory review of the request provided by RO POC
 - complete fact finding
-

Continued on the next page

121 Responsibilities (Continued)

D

State Office POC Responsibilities (Continued)

- provide STC and RO POC with supporting documentation including any written justification as appropriate to address identified concerns
- present the request and findings of fact to STC
- document and forward STC recommendations to RO POC

Note: RO's addresses and States served are located in Exhibit 16.

- provide RO POC with STC written responses citing no concerns identified when appropriate
 - assign a tracking number to the recommendation and log request on AD-2006A if initiated by STC or County Office.
-

E

COC Responsibilities

COC's shall:

- review documents submitted by the State Office POC and provide recommendations on AD-2006

Note: See Exhibit 17.

- respond to requests for input according to the State Office POC schedule
 - identify and initiate recommendations if problems or concerns are identified with the crop insurance program
 - when aware of program vulnerabilities in their county, COC must notify the State Office POC.
-

Section 1 RO Requests to FSA**122 Overview**

A**Background**

This section describes the process for which RO will request STC to review and evaluate RMA MPCl program information. This process also provides a mechanism for RO to share and exchange crop program information with STC.

123 Types of Consultation Requests

A**RMA
Consultation
Requests**

The type of requests submitted by RO to STC include but are not limited to the following:

- program dates

Examples: Sales closing date, final planting date, initial planting date, etc.

- RMA T-yields
 - statements (special provisions, MPCl crop policies, etc.)
 - existing crop program expansion
 - existing crop program deletion
 - farming practices and crop types/varieties
 - high-risk/unrated land.
-

124 Processing Consultation Request

**A
RO POC
Information**

RO POC shall:

- provide appropriate documentation and submit with AD-2006 (Exhibit 17) to the State Office POC
 - complete the issue and background (including the level of review and deadlines for completion)
 - inform the State Office POC of actions taken by RO as a result of the FSA recommendations.
-

**B
State Office POC
Information**

Regardless of where the AD-2006 request is initiated, the State Office POC shall:

- review the RMA request to determine whether all information is included for STC to review, evaluate, and provide a recommendation
- Note:** If the State Office POC determines additional information is needed, the State Office POC:
- may contact the County Office for additional or supporting information
 - will specify the information needed, appropriate format and deadlines.
- respond to the request by completing FSA State Office recommendations with supporting justification and documentation. See Section 3.
-

125-129 (Reserved)

Section 2 FSA Inputs to RO**130 Overview**

A**Background**

This section describes the process for which STC can initiate and recommend changes to RMA MPCl crop programs through the State Office POC. This process also provides a mechanism for the State Office to share and exchange crop program information with RMA.

131 Types of Consultation Recommendations

A**FSA****Consultation
Recommendation**

The type of recommendations submitted by STC to RO include, but are not limited to, the following:

- program dates

Examples: Sales closing date, final planting date, initial planting date, etc.

- RMA T-yields
 - statements (special provisions, MPCl crop policies, etc.)
 - existing crop program expansion
 - existing crop program deletion
 - farming practices and crop types/varieties.
-

132 Processing Consultation Recommendations

A

State Office POC Information

The State Office POC shall:

- if requested by STC, research and justify issue or concerns
- review issues and recommendations submitted by COC's/offices along with supporting documentation
- complete the issue and background (including the level of review and deadlines for completion)
- review the FSA County Office/Committee recommendation to determine if all information is included for STC to review, evaluate, and provide a recommendation. If the State Office POC determines additional information is needed, the State Office POC:
 - may contact the County Office for additional or supporting information
 - will specify the information needed, appropriate format and deadlines.

Note: Recommendations will be submitted through the State Office POC to the appropriate RO POC. Recommendations initiated by COC must be submitted to the State Office POC on AD-2006.

B

RO POC Information

RO shall inform STC of actions taken by RO as a result of the recommendation.

133-139 (Reserved)

Section 3 Documentation

140 Required Minimum Documentation in Support of Recommended Program Changes

A**Required Documentation**

The County Office or STC shall use this table when initiating requests in support of recommended program changes on policies, plans of insurance, and materials related to these policies or plans of insurance. The State Office POC shall ensure that the minimum listed documentation associated to the type of program change is attached to AD-2006 in support of the recommendation.

Types of Requests Initiated by FSA	Minimum Documentation Needed in Support of the Program Change
Crop Expansion/Uninsured Practice/Type/Variety (P/T/V)	Type (for crop expansion) Practice Prices received (for crop expansion/type) Production history (yield per acre) Number of planted acres/producers Number of producers requesting insurance Market Evidence of adaptability
Planting Dates (Final/Initial)	Land grant universities Cooperative Extension Service Seed companies, etc.
RMA T-Yield	County yield history by P/T/V Cooperative Extension Service Land grant universities Other verifiable sources
Crop Program/P/T/V Deletions	Acreage trends Number of producers Loss of market/trends/processors

Note: For those types of requests initiated by RO for review, the State Office POC may contact RO POC for assistance as to the minimum supporting documentation required for the individual request. Additional documentation may be requested by RO POC from the State Office POC if further supporting documentation is required.

141-144 (Reserved)

Section 4 Timelines**145 General Timelines**

A**Overview**

At a minimum, the State Office POC and RO POC shall meet annually to discuss crop program changes made for the current crop year and issues to be reviewed for subsequent crop years. Periodic meetings throughout the year may occur if deemed necessary to discuss work load and priorities.

146 RO Requests

A**RO Deadlines**

Deadlines for completion of FSA reviews and the submission of recommendations to RO POC's will be coordinated. These deadlines to the extent possible will ensure timely implementation of these recommendations. RO POC shall notify the State Office POC of the action taken within 60 calender days of receiving the recommendation from the State Office POC.

147 FSA Recommendations

A**FSA
Recommendation
Deadlines**

FSA requests identifying crop program discrepancies and recommendations to correct such discrepancies can be initiated or submitted to RO POC at any time. Based on the nature of the request and findings, RO POC shall determine the appropriate action to be taken. RO POC shall notify the State Office POC of the action taken within 60 calender days of receiving the recommendation from the State Office POC.

Reports, Forms, Abbreviations, and Delegations of Authority

Reports None

Forms This table lists all forms referenced in this handbook.

Number	Title	Display Reference	Reference
AD-1026A	Highly Erodible Land Conservation (HELC) and Wetland Conservation (WC) Certification		82, 83, Ex. 6
AD-2006	State and County Consultation Request	Ex. 17	121, 124, 132
AD-2006A	Consultation Request Log for AD-2006	Ex. 15	121
AD-2007	FSA/RMA Compliance Referral Form	Ex. 6	23, 70-74, Ex. 10
AD-2007A	FCIC Program Integrity Log for AD-2007	Ex. 10	73
CCC-502	Farm Operating Plan for Payment Eligibility Review		82, 83
CCC-666	Farm Stored Loan Quantity Certification		83
CCC-677	Farm Storage Note and Security Agreement		83
CCC-678	Warehouse Storage Note and Security Agreement		83
CCC-709	Direct Loan Deficiency Payment Agreement		83
CCC-Cotton A	Cotton Producer's Note and Security Agreement		83
CCC-Cotton AA	Upland Cotton Producer's Loan Deficiency Payment Application and Certification		83
FSA-425	Burley Tobacco and Peanut Information		82, 83
FSA-426-A	MPCI/FCIC Information Request	83	82
FSA-578	Report of Acreage		71, 82, 83, Ex. 6

Continued on the next page

Reports, Forms, Abbreviations, and Redelegations of Authority (Continued)

Abbreviations Not Listed in 1-CM The following abbreviations are not listed in 1-CM.

Approved Abbreviation	Term	Reference
MPCI	Multiple Peril Crop Insurance	122, 123, 130, 131, Ex. 6
POC	point of contact	Text, Ex. 6, 17
RCO	Regional Compliance Office, Deputy Administrator for Compliance, RMA	Text, Ex. 5, 6, 10
RO	Regional Office, Deputy Administrator for Insurance Services, RMA	1, Part 5, Ex. 6, 15, 16, 17

Redelegations of Authority None

Definitions of Terms Used in This Handbook

Abuse

Abuse is the improper or excessive use of authority. Abuse refers to administrative violations of Departmental, agency, or program regulations that impair the effective and efficient execution of programs. These violations may result in Federal losses or they may result in denial or reduction in lawfully authorized Federal benefits to participants.

Determined Acreage

Determined acreage is acreage determined by an authorized FSA representative.

Fraud

Fraud is the intentional, wrongful obtaining or attempt of obtaining either money or some other advantage or benefit from governmental programs. Fraud includes but is not limited to, theft, embezzlement, false statements, illegal commissions, kickbacks, conspiracies, and obtaining contracts through collusive arrangements.

Tolerance

Tolerance is the number of acres that the reported acreage or allotment may differ from the determined acreage without either of the following:

- C the total loss of benefits
 - C the overall accuracy of the acreage report being questioned.
-

Waste

Waste is incurring unnecessary costs as a result of inefficient or ineffective practices, systems, or controls.

List of RCO's and States Served

The following is a list of RCO's and the States they serve.

Mailing Address of RCO's	States Served
1111 W. Mockingbird Lane Suite 280 Dallas, TX 75247 214-767-7700 (7:30 - 4:30 C) FAX: 214-767-7721	Arkansas Kentucky Louisiana Mississippi New Mexico Oklahoma Tennessee Texas
4407 Bland Road Suite 280 Raleigh, NC 27609 919-875-4930 (7:00 - 4:30 E) FAX: 919-875-4928	Alabama Connecticut Delaware Florida Georgia Maine Maryland Massachusetts New Hampshire New Jersey New York North Carolina Pennsylvania Puerto Rico Rhode Island South Carolina Vermont Virginia West Virginia
430 G Street Suite 4167 Davis, CA 95616-4167 530-792-5850 (7:00 - 4:00 P) FAX: 530-792-5865	Alaska Arizona California Hawaii Idaho Nevada Oregon Utah Washington
3440 Federal Drive Suite 200 Eagan, MN 55122-1301 612-725-3730 (7:00 - 4:30 C) FAX: 612-725-3735	Iowa Minnesota Montana North Dakota South Dakota Wisconsin Wyoming
6501 Beacon Drive Kansas City, MO 64133 816-926-7963 (7:30 - 4:00 C) FAX: 816-926-5186	Colorado Kansas Missouri Nebraska
Corporate Center North 6905 Corporate Circle Indianapolis, IN 46278 317-290-3050 (7:30 - 4:00 E) FAX: 317-290-3065	Illinois Indiana Michigan Ohio

AD-2007, FSA/RMA Compliance Referral Form

A

**Completing
AD-2007**

Complete one AD-2007 for each complaint or referral on file with the County Office. County Offices shall complete AD-2007 according to the instructions in the following table.

Item	Instructions
1	<p>Enter the tracking number.</p> <p>Example: SS-CCC-YYYY-XXXX</p> <p>Note: For the first complaint filed in crop year 2001 in Wilbarger County, Texas, the tracking number assigned by the County Office would be 48-487-2001-0001.</p>
Part A - Complainant/Source Information (Optional)	
2A	Enter name and address of the complainant. (Optional)
2B	Enter telephone number of the complainant. (Optional)
Part B - Details of the Complaint	
3	<p>Indicate how the complaint was received.</p> <p>Note: If located on RMA compliance spot check list, go to Part C.</p>
4	Enter name and address of the person or entity the complaint was filed against.
5	Record all crops stated in the complaint.
6	Record the crop year(s) in which the complaint occurred.
7	Record the State and county in which the complaint occurred. Record the exact location of the field(s) in the complaint by road, intersection, or landmark and farm serial number, if available.
8	This is the narrative of the complaint. It is necessary to include all details provided by the complainant including the current crop and field conditions. Be as specific as possible. Try to address who, what, where, when, and how.
9	Indicate how the complainant is aware of the situation.

Continued on the next page

AD-2007, FSA/RMA Compliance Referral Form (Continued)

A
Completing
AD-2007
(Continued)

Item	Instructions
10	Include any information the complainant has other than what is detailed in item 8. This could include photos, receipts, or other hard copy documentation. Include any other person or source of information.
11A	The FSA employee recording the information shall print and sign their name.
11B	Record the date the complaint is received.
Part C - Insurance Verification	
12	Before calling RCO for insurance verification, determine all entities and associated social security or tax identification numbers involved in the complaint.
13A	Print the name of the RCO POC that gave the insurance verification.
13B	Enter the date on which verification was given.
14	Indicate MPCCI status as reported by RCO. If "No", no further action is required.
Part D - FSA Fact Finding	
15	Print the name of the FSA employee(s) involved in the fact finding.
16	Record the date the complaint was assigned for fact finding.
17A	Enter the farm number(s) associated with the farm(s).
17B	Enter the tract number(s) associated with the farm(s).
18	Indicate if FSA personnel visited the farm or area of complaint. If "No", briefly describe the results of the fact finding in item 22.
19	Indicate if FSA personnel took pictures of the farm or area of complaint.
20	Determine whether the condition described in the complaint are comparable to other like conditions in the area. If "No", explain in item 22.

Continued on the next page

AD-2007, FSA/RMA Compliance Referral Form (Continued)

A
Completing
AD-2007
(Continued)

Item	Instructions
21	List all FSA documentation that is attached to the form. This will include but is not limited to FSA-578, AD-1026A, photocopies, and crop specific FSA forms when required. Also, any CCC forms that were used as part of the FSA fact finding.
22	Comment on FSA findings (include explanation for items 18 and 20 if answered "No").
23	Enter the name, address, and telephone number of FSA County Office.
24	The FSA County Office reviewing official shall print and sign their name.
25	Enter the date the completed report was transmitted to the FSA State Office POC.
Part E - State Office POC Action	
26	Enter the name, address, and telephone number of FSA State Office.
27	Enter the date the referral was returned to the County Office by the State Office POC, if applicable.
28	Enter the date the referral was transmitted to RCO.
Part F - RCO Action	
29A	Enter RO's name and address.
29B	Enter RO's telephone number.
30	Indicate the action taken by RCO and the date RCO took action.

Continued on the next page

AD-2007, FSA/RMA Compliance Referral Form (Continued)

B
Example of
AD-2007

Following is an example of AD-2007.

REPRODUCE LOCALLY. Include form number and date on all reproductions.	
AD-2007 <small>(04-02-01)</small> U.S. DEPARTMENT OF AGRICULTURE Farm Service Agency FSA/RMA COMPLIANCE REFERRAL FORM	1. FSA TRACKING NUMBER (13 Digit Number)* 48-487-2001-0001
PART A - COMPLAINANT/SOURCE INFORMATION	
2A. NAME AND ADDRESS OF PERSON MAKING THE COMPLAINT Joe Farmer 123 Farmer Road Anytown, TX 23456	2B. TELEPHONE NUMBER OF THE PERSON MAKING THE COMPLAINT 856-555-1234
PART B - DETAILS OF THE COMPLAINT	
3. FORM OF COMPLAINT: Phone <input type="checkbox"/> E-Mail <input type="checkbox"/> In-Person <input checked="" type="checkbox"/> OTHER: (Explain in Item 10) <input type="checkbox"/>	
4. NAME AND ADDRESS OF THE SUBJECT OF THE COMPLAINT Jerry Neighbors 260 Neighbors Road Anytown, TX 12345	5. CROP(S) STATED IN COMPLAINT Cotton 6. CROP YEAR(S) IN WHICH THE COMPLAINT OCCURRED: 2001
7. STATE & COUNTY WHERE COMPLAINT OCCURRED (State exact location of the field(s) in the complaint by road, intersection, or landmark and farm serial number if available): Wilbarger County, TX FSN 1234 Field on north side of Farmer Road at intersection with Neighbors Road	
8. NARRATIVE OF THE COMPLAINT (Include all details including current crop and field conditions. Address who, what, where, when, and how): Jerry Neighbors planted the cotton on June 28 and has not taken care of it since planting. The cotton did not emerge, and the weeds have grown waist high.	
9. HOW DOES COMPLAINANT KNOW THE SITUATION? Hearsay <input type="checkbox"/> Visual <input checked="" type="checkbox"/> Knowledge of Records <input type="checkbox"/>	
10. OTHER INFORMATION NOT EXPLAINED IN ITEM 8 (Include photos, receipts, or other hard copy documentation, or other sources of information): Seed may have been purchased from Big Seed Dealer, Anytown, TX. Joe Farmer tends the farm on the south side of Farmer Road at the intersection with Neighbors Road.	
11A. NAME OF FSA OFFICIAL RECORDING INFORMATION /s/ I. M. Employee	11B. DATE COMPLAINT RECEIVED 08-10-2001
<small>*TRACKING NUMBER (13 Digits alpha numeric): Digits 1 & 2 identify State Location Code (i.e., Texas = 48). Digits 3 through 5 identify County Location Code (i.e., Wilbarger = 487). Digits 6 through 9 identify calendar year the request is made (i.e., 2001 = 2001). Digits 10 through 13 identify the request number in chronological order (i.e., request number 1 = 0001).</small>	
<small>The U.S. Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation, and marital or family status. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write USDA, Director, Office of Civil Rights, Room 326-V, Whitten Building, 1400 Independence Avenue, SW, Washington, D.C. 20250-9410 or call (202) 720-5964 (voice or TDD). USDA is an equal opportunity provider and employer.</small>	

Continued on the next page

AD-2007, FSA/RMA Compliance Referral Form (Continued)

B
Example of
AD-2007
(Continued)

AD-2007 (04-02-01) REVERSE			
PART C - INSURANCE VERIFICATION			
12. ALL ENTITIES INCLUDED IN THE COMPLAINT KNOWN BY FSA AND THEIR ASSOCIATED SSNs AND/OR TAX IDENTIFICATION NUMBERS:			
ENTITY NAME	SSN NO. OR TAX ID NO.	ENTITY NAME	SSN NO. OR TAX ID NO.
A. Neighbors Farms, Inc.	12-345-6789	B.	
C.		D.	
13A. NAME OF REGIONAL COMPLIANCE OFFICE CONTACT Sally Investigator			13B. DATE CONTACTED 08-11-01
14. MPC? (Check one of the boxes below. If "No" is checked, no further action is required.) YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>			
PART D - FSA FACT FINDING			
15. NAME OF FSA OFFICIAL INVOLVED IN FACT FINDING Henry Fieldman		16. DATE THE COMPLAINT WAS ASSIGNED TO FSA OFFICIAL 08-12-01	
17A. FARM FSN NUMBER 1234	17B. FARM TRACT NUMBER 1610	18. DID FSA PERSONNEL VISIT THE FARM OR AREA OF COMPLAINT? (If "No," explain in Item 22.) YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>	
19. DID FSA PERSONNEL TAKE PHOTOS OF THE FARM OR AREA OF COMPLAINT? YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>		20. WAS THE CONDITION OF THE COMPLAINT COMPARABLE TO OTHER LIKE CONDITIONS IN THE AREA? (If "No," explain in Item 22.) YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	
21. FSA SUPPORTING DOCUMENTATION ATTACHED: FSA-578 Photos of Field Aerial Map Field notes describing observation of Henry Fieldman AD-1026A			
22. FSA COMMENTS (If additional space is needed, attach and sign a separate sheet.) Photos 1, 2, and 3 are Jerry Neighbors' cotton. Photos 4, 5, and 6 were taken in Joe Farmer's field. Neighbors' cotton has weeds waist high and has a poor stand. Surrounding farms have cotton planted and the crops have good stands and have been well taken care of.			
23. FSA COUNTY OFFICE NAME & ADDRESS (Include Zip Code) Wilbarger County FSA 5015 College Drive, Room 1 Vernon, TX 76384 TELEPHONE NUMBER: 940-553-4394		24. NAME OF FSA COF REVIEWING OFFICIAL Sam Runner	
		25. DATE TO STO 08-18-01	
PART E - STATE POC'S ACTIONS			
26. FSA STATE OFFICE NAME & ADDRESS (Include ZIP Code.) Texas State FSA Office 2405 Texas Avenue College Station, TX 77840 TELEPHONE NUMBER: 979-680-5150		27. DATE TO COF	
		28. DATE TO RCO 08-22-01	
PART F - RCO'S ACTIONS			
29A. REGIONAL OFFICE NAME & ADDRESS (Include ZIP Code) Southern Regional Compliance Office 1111 West Mockingbird Lane, Suite 280 Dallas, TX 75247-5016		29B. REGIONAL OFFICE TELEPHONE NUMBER 214-767-7700	
30. ACTION TAKEN BY RCO: (Check one of the following and insert date when RCO took action below.) REFERRED TO: POC <input type="checkbox"/> COMPANY <input checked="" type="checkbox"/> OIG <input type="checkbox"/> INTERNAL TO RCO <input type="checkbox"/> DATE RCO TOOK ACTION 08-26-01			

AD-2007A, FCIC Program Integrity Log for AD-2007

A

**Completing
AD-2007A**

Complete one AD-2007A for each crop year. County Offices shall complete AD-2007A according to the instructions in the following table.

Item	Instructions
1	Enter crop year.
2	Enter sequential page number for the calendar year.
3	Enter State code.
4	Enter county code.
5	<p>Enter the tracking number.</p> <p>Example: SS-CCC-YYYY-XXXX</p> <p>Note: For the first complaint filed in crop year 2001 in Wilbarger County, Texas, the tracking number assigned by the County Office would be 48-487-2001-0001.</p>
6	Enter the producer name for which there is a concern.
7-10	<p>Check the applicable column for the type of review.</p> <p>7 = complaint received by the County Office (this could be in person, telephone, etc.)</p> <p>8 = concern discovered by FSA through normal FSA activity</p> <p>9 = request by RCO</p> <p>10 = review of producer on the RMA spot check list</p>
11	If entry in item 7, 8, or 9, enter the date County Office became aware of the concern. If entry in item 10, enter the date the review is conducted.
12	Enter the date a referral was submitted if applicable.
13	Enter total of each column to reflect the number entered on the log in each category, total number received of all categories, and total of actual referrals submitted.

Continued on the next page

AD-2007A, FCIC Program Integrity Log for AD-2007 (Continued)

B
Example of
AD-2007A

Following is an example of AD-2007A.

REPRODUCE LOCALLY. Include form number and date on all reproductions.							
AD-2007A (04-04-01)		U.S. DEPARTMENT OF AGRICULTURE Farm Service Agency		1. CROP YEAR 2001		2. PAGE NUMBER 1 of 1	
FCIC PROGRAM INTEGRITY LOG FOR AD-2007				3. STATE CODE 48		4. COUNTY CODE 487	
5. Reference/ Tracking Number (13 Digits) (From AD-2007, Item 1)	6. Producer Name (From AD-2007, Item 4)	TYPE OF REVIEW (Enter a check mark below for the applicable type of review.)				11. Date County Office became aware of the concern or the date review was conducted.	12. Date Referral Submitted
		7. Complaint Received by COF	8. FSA Discovery	9. RCO Referral	10. RMA Spotcheck List		
48-487-2001-0001	Jerry Neighbors					08-10-01	08-18-01
13. TOTALS							

Example Letter for RMA Field Visit Request



United States Department of Agriculture

Farm and Foreign Agricultural Services
Risk Management Agency

SUBMISSION DATE _____

TO: _____, COUNTY EXECUTIVE DIRECTOR
COUNTY

THRU: _____, STATE OFFICE POINT OF CONTACT

FROM: _____, DIRECTOR
REGIONAL COMPLIANCE OFFICE

SUBJECT: **REQUEST FOR FIELD VISIT TO VERIFY CROP INSURANCE DATA**

This regional RMA compliance office is currently conducting its Manual 14 program review. Discrepancies have been identified with the insurance company's claim audit listed below. The following assistance regarding the claim is being requested for:

INSURED NAME: _____ POLICY NUMBER: _____

INSURED ID: _____

REQUESTED ACTION:

1. _____
2. _____
3. _____

COUNTY OFFICE CONTACT PERSON

NAME: _____ TELEPHONE: () - _____

FAX: () - _____ E-MAIL: _____

Please forward all documentation along with a copy of this form, by _____, to the individual listed below.

RMA POINT OF CONTACT

NAME: _____ TELEPHONE: () - _____

FAX: () - _____ E-MAIL: _____



The Risk Management Agency Administers and Oversees
All Programs Authorized Under the Federal Crop Insurance Corporation

An Equal Opportunity Employer

AD-2006A, Consultation Request Log for AD-2006

A

**Completing
AD-2006A**

Complete AD-2006A according to this table.

Item	Instructions
1	Enter the crop year the issue is referred to RO for action.
2	Enter page number of the log.
3	Enter the State Office or RO name.
4	Enter the next consecutive tracking number.
5	Identify the issue. Ensure to include enough information to accurately identify the issue.
6	Enter date referred for RO action.
7	Enter date of RO action.

Continued on the next page

AD-2006A, Consultation Request Log for AD-2006 (Continued)

B Example of AD-2006A

Following is an example of AD-2006A.

[illegible]

List of RO's and States Served

The following is a list of all RO's and the States they serve.

Mailing Address of RO	States Served
Suite 106 2110 Overland Avenue Billings, MT 59102-6440 406-657-6447 (8:00 - 4:30 MST) FAX: 406-657-6573	Montana North Dakota South Dakota Wyoming
430 G Street, # 4168 Davis, CA 95616-4168 530-792-5870 (7:30 - 4:00 P) FAX: 530-792-5893	Arizona California Hawaii
Suite 160 4407 Bland Road Raleigh, NC 27609 919-875-4880 (8:00 - 4:30 E) FAX: 919-875-4915	Nevada Utah Connecticut Delaware Maine Maryland Massachusetts New Hampshire New Jersey
8 River Bend Place Jackson, MS 39208 601-965-4771 (7:30 - 4:00 C) FAX: 601-965-4517	Mississippi Tennessee Pennsylvania Rhode Island Vermont Virginia West Virginia
Suite 170 205 NW 63rd. Street Oklahoma City, OK 73116-8209 405-879-2700 (7:30 - 4:00 C) FAX: 405-879-2741	New Mexico Oklahoma Texas

Continued on the next page

List of RO's and States Served (Continued)

Mailing Address of RO	States Served
30 E. 7th Street 910 Minn. World Trade Center St. Paul, MN 55101 651-290-3304 (7:30 - 4:00 C) FAX: 651-290-4139	Iowa Minnesota Wisconsin
3500 West Wabash Avenue Springfield, IL 62707 217-241-6600 (7:30 - 4:00 C) FAX: 217-241-6618	Illinois Indiana Michigan Ohio
112 N. University Road Suite 205 Spokane, WA 99206-5295 509-353-2147 (7:00 - 4:00 P) FAX: 509-353-3149	Alaska Idaho Oregon Washington
3401 SW Van Buren Street Topeka, KS 66611-2227 785-266-0248 (7:30 - 4:00 C) FAX: 785-266-2487	Colorado Kansas Missouri Nebraska
106 South Patterson Street Suite 250 Valdosta, GA 31601 229-219-2200 (8:00 - 4:30 E) FAX: 229-244-6103	Alabama Florida Georgia Puerto Rico South Carolina

AD-2006, State and County Consultation Request

A

**Completing
AD-2006**

STC, RO POC, State Office POC, COC, and County Offices shall complete AD-2006 according to the instruction in the following table. Attach additional sheets and supporting documentation, as necessary, to thoroughly explain the issue, provide background, justify recommendations, or explain the action.

Item	Instruction
1	Tracking Number: Depending on the origin of the request the State Office POC or RO POC will assign a 9-digit alpha numeric tracking number (for example, 200106F0001). The first 4 digits will be the calendar year the request is made (for example, 2001 = 2001), the third and fourth digit identifies the State location (for example, California = 06), the fifth digit identifies the origin of the request (for example, F for FSA or R for RMA), the next 4 digits are used for the request number in chronological order (for example, request number 1 = 0001).
2	Date originated.
3	Issue: The originator (RO POC, State Office POC, STC, COC) of the request states the subject and the task to be completed.
4	Background: The originator describes the subject and/or process and any other pertinent information in assisting the recipient in making their determination. Other information may include but not limited to why the task needs to be completed or what specific information needs to be reviewed.
5	STC Recommendation: The appropriate action recommended.
6	Justification: Supporting documentation provided for the action recommended (Part 5, Section 3).
7A	STC Signature: An STC member or their appointed designee will sign the request.
7B	Date Sent: The date the State Office POC sent the request to RO POC.
8	RO Explanation/Action: Describe the appropriate action taken by RO and the reason for the action. If the request is accepted, explain when the action will occur.
9A	RO POC signature.
9B	Check whether action is concurred or non-concurred.
9C	Enter date signed.
10	RO name.
11	State Office name and address.

Continued on the next page

AD-2006, State and County Consultation Request (Continued)

B
Example of
AD-2006

Following is an example of AD-2006.

REPRODUCE LOCALLY. Include form number and date on all reproductions. AD-2006 U.S. DEPARTMENT OF AGRICULTURE (04-05-01) Farm Service Agency			1. TRACKING NUMBER (11 Digit Number)* 200148F0001
STATE AND COUNTY CONSULTATION REQUEST			2. DATE ORIGINATED 04-03-2001
3. ISSUE (State the issue as briefly as possible): Valid final planting dates of April 15 for corn in the following counties: Dallas, Ellis, Navarro, Freestone, Leon, Limestone, Hill, Johnson, Tarrant, Denton, Wise, Parker, Hood, McLennan.			
4. BACKGROUND (State who does the issue impact; how does the issue impact you or your constituency?): Final planting dates must adhere to the following criteria: 1) the latest date the crop can be planted with the expectation of producing a normal yield, and 2) the date at which time at least 90% of the crop is normally planted in the county.			
5. STATE COMMITTEE RECOMMENDATION (State the committee's recommendation as briefly as possible): Final planting dates for Dallas, Ellis, Johnson, and Tarrant should be changed from April 15 to May 31.			
6. JUSTIFICATION (Fully explain your recommendation): The current final planting date of April 15 subjects any acreage planted that late to excessive heat in July that will adversely affect the ability of the plant to pollinate properly and ultimately reduce the yield. See attached recommendation from Extension.			
7A. STATE COMMITTEE MEMBER'S OR DESIGNEE'S SIGNATURE /s/ James Jones			7B. DATE SENT TO RMA REGIONAL OFFICE'S POC 04-03-01
8. REGIONAL OFFICE EXPLANATION: We accept your recommendation in part. We plan to change the final planting date to April 7 by the next filing date. Our concern for moving the date to March 31 is that in years when the crop can and should be replanted no attempt will be made to do so which would adversely affect the program.			
9A. REGIONAL OFFICE POC'S SIGNATURE /s/ Franklin Harrison		9B. REGIONAL OFFICE: <input checked="" type="checkbox"/> Concurred <input type="checkbox"/> Non-concurred	9C. DATE SIGNED 05-22-01
10. RMA REGIONAL OFFICE NAME & ADDRESS (Include ZIP Code) USDA Risk Management Agency Regional Office 205 NW 63rd Street, Suite 170 Oklahoma City, OK 73116 TELEPHONE NUMBER:		11. FSA STATE OFFICE NAME & ADDRESS (Include ZIP Code) Texas State FSA 2405 Texas Avenue College Station, TX 77840 TELEPHONE NUMBER:	
*TRACKING NUMBER (11 Digits alpha numeric): Digits 1 through 4 identify the calendar year the request is made (i.e., 2001 = 2001). Digits 5 & 6 identify the State Location Code (i.e., California = 06). Digit 7 identifies the origin of the request (F for FSA or R for RMA). Digits 8 through 11 identify the request number in chronological order (i.e., request number 1 = 0001).			

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